

12-06-01

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10/25/01

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	ELL001US2 CON
	First Inventor	Robert C. Herrmann
	Title	Micro and Ultrafilters with Controlled Pore Sizes and Pore Size Distribution and Methods of Making
	Express Mail Label No.	EL791520285US

## APPLICATION ELEMENTS

 Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

1. ☒ Fee Transmittal Form  
 (submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
 See 37 CFR 1.27
3. ☒ Specification total pages: 21  
 (preferred Arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) [total sheets: 7]
5. ☒ Oath or Declaration total sheets: 3]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from prior appl. (37 C.F.R. § 1.63(d))
- i. ☐ **DELETION OF INVENTOR(S)**  
 Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. (See 37 CFR 1.76)
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (coversheet/document(s)) ✓
10. ☐ 37 CFR. 3.73(b) Statement ☐ Power of Attorney  
 (when there is an assignee)
11. ☐ English Translation
12. ☐ Document ☒ Copies of IDS Citations
13. ☒ IDS & Form 1449
- Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
15. ☐ Certified Copy of Priority Document(s)
16. ☐ Request & Certification under 35 USC 122(b)(2)(B)(i)
17. ☒ Other: Certificate of Express Mailing

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

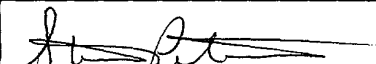
☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/341,483

Prior application information: Examiner: A. Fortuna Group/Art Unit: 1723

FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label or ☒ Correspondence address below

Name	Steven C. Petersen				
	Hogan & Hartson, LLP				
Address	1200 17 <sup>th</sup> Street				
	Suite 1500				
City	Denver	State	CO	ZIP	80202
Country	US	Telephone	(720) 406-5315	Fax	(720) 406-5301
Name (Print/Type)	Steven C. Petersen		Registration No.		36,238
(Signature)				Date	10/25/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Robert C. Herrmann, *et al.*

Serial No. Not Yet Accorded

Filing date: Not Yet Accorded

For: Micro and Ultrafilters with Controlled Pore Sizes  
and Pore Size Distribution and Methods of Making

Group Art Unit: Not Yet Accorded

Examiner: Not Yet Accorded

CERTIFICATE OF MAILING BY EXPRESS MAIL

Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the following documents:

1. Utility Patent Application Transmittal;
2. Specification (21 pages);
3. Drawings (7 pages);
4. Copies of Assignments from U.S. Serial No. 09/341,483;
5. Recordation Cover Sheet;
6. Copies of Declarations from U.S. Serial No. 09/341,483;
7. PTO form 1449;
8. Information Disclosure Statement;
9. Copies of 61 references;
10. Fee Transmittal Form (in duplicate);
11. Check in the amount of \$590.00 (\$550.00 Filing fee and \$40.00 Recordation fee); and
12. Return postcard

relating to the above application, were deposited as "Express Mail", Mailing Label No. EL791520285US, with the United States Postal Service, addressed to Box PATENT APPLICATION, The Assistant Commissioner for Patents, Washington, D.C., 20231.

Date

10/25/01

Date

10/25/01

Mailer

Steven C. Petersen, Reg. No. 36,238  
HOGAN & HARTSON LLP  
1200 17th Street, Suite 1500  
Denver, Colorado 80202  
(720) 406-5315 Tel  
(720) 406-5301 Fax

# FEE TRANSMITTAL for FY 2001

TOTAL AMOUNT OF PAYMENT (\$) **(\$590.00)**

## Complete if Known

Application Number	Not Yet Accorded
Filing Date	Not Yet Accorded
First Named Inventor	Robert C. Herrmann
Examiner Name	Not Yet Assigned
Group / Art Unit	Not Yet Accorded
Attorney Docket No.	ELL001US2 CON

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

**50-1123**

Deposit  
Account  
Name

**Hogan & Hartson L.L.P.**

☒ Charge Any Additional Fee Required Under 37 CFR § 1.16 and 1.17

☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
710	370	Utility Filing Fee	<b>370.00</b>
320	160	Design filing fee	
490	245	Plant filing fee	
710	355	Reissue filing fee	
150	75	Provisional filing fee	

**SUBTOTAL (1) (\$370.00)**

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
40	-20**= 20	9	180
Independent Claims	-3**= 0		0
Multiple Dependent			0

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	**Reissue independent claims over original patent
110 18	210 9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$180.00)**

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
390	195	Extension for reply within second month	
890	445	Extension for reply within third month	
1,390	695	Extension for reply within fourth month	
1,890	945	Extension for reply within fifth month	
310	155	Notice of Appeal	
310	155	Filing a brief in support of an appeal	
270	135	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,240	620	Petition to revive - unintentional	
1,240	620	Utility issue fee (or reissue)	
440	220	Design issue fee	
600	300	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	40.00
710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
710	355	For each additional invention to be examined (37 CFR § 1.129(b))	
710	355	Request for Continued Examination	
900	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid **SUBTOTAL (3) (\$40.00)**

SUBMITTED BY Complete (if applicable)

Name (Print/Type) **Steven C. Petersen**

Registration No (Attorney/Agent)

**36,238**

Telephone

**(720) 406-5315**

Signature



Date

**10/25/01**